

अविनाश सुभेदार
उप सचिव

तातडीचे

अ.शा.पत्र क्रमांकःएनआरएलएम-२०११/प्र.क्र.८०/योजना-३.
ग्राम विकास व जलसंधारण विभाग,
मंत्रालय, मुंबई-४०० ०३२.
दिनांकः २३ मार्च, २०११.

विषयः राज्य ग्रामीण जिवनोन्नती अभियानाची अंमलबजावणी करण्यासाठी जिल्हयाचा एक वर्षासाठीचा अंमलबजावणी आराखडा तयार करण्याबाबत.

प्रिय

सन २०११-१२ मध्ये स्वर्णजयंती ग्राम स्वरोजगार योजनेचे रुपांतर राज्य ग्रामीण जिवनोन्नती अभियानात करुन अभियानाची अंमलबजावणी करावयाची आहे. त्यासाठी प्रथम टप्प्यात आपल्या जिल्हयामध्ये अंमलबजावणी प्रस्तावित आहे. या अभियानाच्या स्वरुपाबाबत दिनांक १५ व १६ फेब्रुवारी, २०११ रोजी यशदा, पुणे येथे झालेल्या कार्यशाळेत सविस्तर चर्चा करण्यात आली आहे.

२. अभियान सुरु करण्याच्या पूर्व तयारीबाबत चर्चा करण्यासाठी राष्ट्रीय अभियान व्यवस्थापन युनीट मधील श्री.सी.चंद्रशेखर व श्रीमती स्मिता जेकब, हे दोन अधिकारी केंद्र शासनाकडून दिनांक १७ व १८ मार्च, २०११ रोजी मुंबई येथे आले हाते. या अधिकाऱ्यांनी अभियानाच्या पूर्व तयारीचा आढावा घेत असताना, राज्याचा प्रारंभिक कृती आराखडा (Initial Action Plan) तयार करुन केंद्र शासनास सादर करण्यासाठी विहीत केलेला नमुना (Template) दिला आहे. त्याची प्रत सोबत जोडली आहे.

३. या नमुन्यात आपल्या जिल्हयाचा आराखडा तयार करुन शासनास दि.३१ मार्च, २०११ पर्यंत उपलब्ध करुन द्यावा. या आराखडयावर चर्चा करण्यासाठी मा.सचिव, ग्राम विकास यांचेकडे साधारणतः एप्रिल,२०११ च्या पहिल्या आठवडयात बैठक आयोजित केली जाईल व त्या आधारे तयार केलेला राज्याचा पायलट आराखडा दि.११ व १२ एप्रिल, २०११ रोजी केंद्रशासनाकडून घेतल्या जाणाऱ्या कार्यशाळेत चर्चिला जाईल.

४. सदर आराखडा तयार करताना सोबतच्या नमुन्याबरहुकूम असेल याची दक्षता घ्यावी. त्यामध्ये खालील बाबींचा अतर्भाव असेल :-

अ)अभियानाची अंमलबजावणी टप्प्या-टप्प्याने करावयाची आहे. त्यासाठी प्रथम Pilot Project राबविण्याचा आहे. त्यासाठी आपल्या जिल्हयातील ३-४ तालुक्यातील साधारणतः २-३ गावे यासाठी निवडावयाची आहेत. ही गावे निवडत असताना अभियानास पोषक असलेले गांव व अभियान प्रारंभिक लाभापासून वंचित असलेले गांव अशी गावे सर्वसाधारणतः निवडण्यात यावीत. या गावांमध्ये अभियान सुरु झाल्यानंतर ६ महिने ते १ वर्षानंतर मुल्यमापन करुन त्याची फलनिष्पत्ती पाहून, अन्य भागात अभियान राबविण्यासाठी या Pilot Project चा उपयोग होईल.

ब) Pilot Project साठी कुपोषण, सार्वजनिक आरोग्य, जिवनोन्नती, विपणन, कौशल्यवृध्दी, कृषि आधारीत कार्यक्रम, दुग्ध व तत्संबंधी उद्योग, इत्यादी क्षेत्रांतील एक वा जास्त क्षेत्रावर लक्ष केंद्रीत करण्यात यावे.

क) सोबतच्या नमुन्यामध्ये ज्या ज्या ठिकाणी राज्य (स्टेट) असा उल्लेख आला आहे तेथे जिल्हा समजून अपेक्षित माहिती भरावी. (उदा.राज्याच्या सांख्यिकी माहिती ऐवजी जिल्ह्याची सांख्यिकी माहिती द्यावी) अभियान अंमलबजावणीच्या क्षेत्राचा उल्लेख करावा.

५. उपरोक्त सर्व सूचना लक्षात घेऊन परि.३ मध्ये दिलेल्या विहीत मुदतीत आपला आराखडा मार्च अखेरपर्यंत शासनास प्राप्त होईल, याची दक्षता घ्यावी.

आपला

सही
2/3/11

(अविनाश सुभेदार)

सोबतः वरीलप्रमाणे.

Issued by Net.

प्रति

श्री./श्रीमती (नावाने)
मुख्य कार्यकारी अधिकारी,
जिल्हा परिषद तथा अध्यक्ष कार्यकारी समिती,
जिल्हा ग्रामीण विकास यंत्रणा,
ठाणे, जळगांव, सांगली, नांदेड, लातूर, यवतमाळ, गोंदिया, वर्धा, गडचिरोली.



T.Vijay Kumar
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RTI-14013/11

ग्रामीण विकास मंत्रालय
ग्रामीण विकास विभाग
भारत सरकार
कृषि भवन, नई दिल्ली - 110 001
Ministry of Rural Development
Deptt. of Rural Development
Government of India
Krishi Bhawan, New Delhi - 110 001

D.O.NO.M-13015/1/2010-SGSY

17 March 2011

Dear Shri Thakre,

As you are aware, under the National Rural Livelihoods Mission, each state is required to prepare it own action plan for poverty reduction. The 'Framework for Implementation' for NRLM has been finalised and circulated to all States/UTs and is also available on this Ministry's website www.rural.nic.in . We have now developed a template for an Initial Action Plan (IAP) for States that will help you set up timelines for taking up various activities for setting up SRLM and roll out of NRLM in your state, including taking up pilots for developing your state's strategy under NRLM. It will also enable MoRD to assess the kind of technical support required by the State for planning for NRLM roll out. Funds have already been provided for preparatory activities under NRLM, to those states who have provided the relevant details regarding name of agency to which the funds have to be transferred and details of bank account. These funds can also be utilized for undertaking pilots in the states for developing the state's strategy under NRLM. If additional funds are required, the same can be sought through the IAP.

So far as the State's Action Plan for Poverty Reduction under NRLM is concerned, it has to be prepared in two parts – (i) the State Perspective and Implementation Plan (SPIP) and (ii) Annual Action Plan. The SPIP has to be a comprehensive document which will outline the state's strategy for programme implementation including the systems to be put in place for programme implementation. In order to make it convenient for the states to prepare a comprehensive SPIP and also to ensure standardisation across all states so as to make scrutiny and appraisal of the SPIPs at MoRD level easier, we have developed a template for SPIP of States. I am enclosing a copy of the template for your information and use. The Annual Action Plan will flow out of the SPIP, indicating one year's activities and budget requirements. We are also developing the criteria and business processes for appraisal of the SPIPs. These will be developed in consultation with all states/UTs.

We are planning consultations with all states, in two groups, on the SPIP preparation by mid April, 2011, during which more clarity is expected to emerge regarding preparation of SPIP by states.

I would also like to inform you that the following manuals have been developed for NRLM and are available on our website, www.rural.nic.in .

(i) Finance Manual
(ii) Procurement Manual
(iii) Social Assessment Manual
(iv) Manual for Environment Framework

These manuals can be used for drawing up your state specific manuals which will be a part of the state's SPIP. The HR manual will be ready by end of March, 2011 and will then be shared with the states.

I would also like to take this opportunity to inform you that we have put in place at the Ministry level a National Mission Management unit. It has around 12 experienced development professionals and they will be able to provide necessary support to the State Mission.

I request you to kindly initiate action for preparation of SPIP at the earliest. If any support or discussion is required please feel free to contact me on 'phone or through e-mail.

With regards,

उप (श्री: दुरूपयोग)

Yours sincerely

(T. Vijay Kumar)

Shri Sudhir Thakre
Secretary (RD&PR)
Rural Development & Water Conservation Department
Government of Maharashtra
Mumbai

National Rural Livelihoods Mission

State: (Name of the State)

Initial Action Plan
(FY 2011-12)

Template

NOTE: State Perspective and Implementation Plan will be due within six months of approval/commencement of Initial Action Plan

CHAPTER 1 : STATE BACKGROUND AND POVERTY DIAGNOSTIC

Chapter 1: State Situational Analysis

This chapter briefly gives a background of the state in which NRLM is to be started and refers the context of challenges and opportunities for NRLM.

1.1 Demographic Profile of the State

Insert the map of the state and give a brief introduction to the demographic profile of the state.

Data to be used : State level data and District-wise total rural population, District-wise % of female population, District-wise % of SC population, District-wise % of ST population, District-wise % of minority population, District-wise % of differently abled population, District wise rural female literacy rate.

1.2 Rural Poverty Context in the State

Briefly summarize the extent of poverty and status of human development in the state and the key challenges/constraints and opportunities for the state

Data to be used: % of rural households below official poverty line; average monthly per capita expenditure (in Rs:, data on malnutrition; school drop-out; available health services for poor; status of flood, drought, frequent disaster and migration.

1.3 Context of Social Inclusion, Financial Inclusion and Livelihood related Challenges and Opportunities at state level (not more than 1000 word)

Specifically describe the situation of social inclusion & mobilization of poor, state of access to mainstream finance by them; problem related to it, various livelihoods options available in the state and poor's positioning in value chain of major livelihoods activities in the state. Special focus on livelihoods of vulnerable groups like SC / ST /PVTG etc.

Data to be used: No of SHGs/community institutions, poor's % in SHGs, bank finance to SHGs, % access of finance by poor in SHG, major livelihoods options, % of population engaged in it, % of poor engaged in major livelihoods activities, average possession of land by poor, available details of specific pockets/clusters (if any) socially and economically backward in the state, kind of challenges persisting there etc.

1.7 Existing Social Development and Livelihood Initiatives in the State (by the State Government , NGOs and externally aided projects) – Not more than 500 word.

CHAPTER 2: IMPLEMENTATION PLAN

Activities	Present Status	Key strategies to accomplish the activities	Time line (by when activity will be completed/output will be achieved)
State Society Formed and/or Notified (State Rural Livelihoods Mission)			
CEO appointment for SRLM			
Hiring/nomination of core state team			
Office set up for SRLM			
Opening of separate bank account			
GO stating approval of implementation structure and staff for SRLM			
Training and immersion of core team members.			
Preparation of • HR manual • Financial manual • Procurement manual			
Recruitment of team for pilot			
Completion of Pilot			
Submission of PIP			
Appraisal of PIP			
Procurement Compliance • Resolution passed by State Society to follow NRLM procurement norms • Development of procurement plan for IAP year			
Hiring HR agency for recruitment			
Detailed phase wise plan for recruitment of staff			
Training and immersion plan for SRLM team to be recruited			
Knowledge gap studies • 1 Please specify • 2 Please specify			
Base line study			
Any other activity/ies			

CHAPTER 3: PILOT STRATEGIES

Plan for Pilots in Social Mobilization, Financial Inclusion and Livelihood promotion

In the preparatory phase, there is a need to test the various interventions which would entail lots of learning to be incorporated in the SPIP (main project design) and would provide useful insights for replication and expansion. This should be done by the very first team that is inducted at SMMU. The team should soil their hands by mobilizing the community based on the

NRLM guidelines, building some institutions at the village level and the interventions designed to be piloted. The results of the pilots should be analyzed in terms of;

- *System design* : Does the system allow the poor to participate adequately, is it transparent and sustainable ?
- *Scope* : Do the pilots reach the vulnerable sections of the society ?
- *Scalability* : Do the pilots attract the different stakeholders such as financial institutions, public and private agencies, other development schemes of the Govt. line departments, etc. Does it merit the geographical expansion ?
- *Developing processes & Strategies* : Are the operational processes (mobilizing poor, developing institutions, capacity building, linkage with various agencies for leveraging resources both financial and technical, etc.) adequate enough to bring the desired results ?

Hence states needs to design the pilot based on the following steps:

- Assumption for pilot (what the pilot is going to test)
- Outreach (in how many blocks/panchayats/villages) and the rationale for choosing the specific blocks
- Coverage (with whom and how many HHs)
- Implementation strategies and support structure envisaged
- Key activities (listing out activities in sequence)
- Expected outcomes (listing outcomes which could be taken into consideration while making PIP)

CHAPTER 3 : SUPPORT STRUCTURE INCLUDING STAFFING

Detail out support structure envisaged for the first year. Please mention form of SRLM (society, trust or company), Details of the governing body/ EC (chairperson, members etc), structure of SMMU (please provide organogram), job profiles of the key staff.

The support structure for implementing pilots will also be required here. Please provide structure at block/sub-district level responsible for pilot implementation and key job profiles of staff.

CHAPTER 4: STAFF CAPACITY BUILDING

Please detail out the plan for training, immersion and exposure of staffs to be involved in first year activities (including pilots). Please specify types of programmes, , and the strategies for conducting these events ot programmes..

CHAPTER 5: MIS

Detail out the M&E system for the first year. Please specify process of review, reporting system and monitoring indicators. Please mention plan for designing web-enabled MIS system for the mission.

CHAPTER 6: FINANCIAL MANAGEMENT

Detail out the system to be followed for fund flow, control, staffing and audit for fund being made available/to be made available to state.

CHAPTER 7: PROJECT COSTING

Please specify the budget associated with the activities (other than pilot) mentioned above as follows.

Sl	Budget Component (Activity-wise)	Unit Cost	Amount (in Lakh and Rs)
1			
2			

If fund already received and there is requirement for additional fund, this may also be detailed pout with justification.

For pilot, the budget may be submitted in following table.

Cost Components	Amount (In Rs. Lakh)
Institution Building	
Training and Capacity Building	
Revolving fund and capital subsidy	
Infrastructure creation and marketing	
Administrative cost	
Any Other Cost	

A template for suggestive sub-budget components is given as annexure.

Annexure:
Detailed Cost Tables

Institution Building

Formation costs for SHGs

Formation Costs for SHG federations

BMMU expenses

Payments to NGOs for formation of SHGs/SHG federations

Training and Capacity Building Expenses

Training and exposure visits of SHGs and its members

Training and exposure visits of SHG federations and its members

Setting up and operational expenses of Community Learning Academies (for training of CPs and CRPs)

Payments to NGOs for formation of SHGs/SHG federations

BMMU costs

Workshops/conferences/exposure visits for other stakeholders like bankers, line departments officials etc

Revolving fund and capital subsidy

RF and Capita Subsidy support to SHGs and SHG federations

Food Security Fund to SHG federation

Health Security Fund to SHG federations

Infrastructure creation & marketing

Promotion of Livelihood Collectives and Support to SHG's/livelihood Colectives/SHG federations for Livelihood enhancing activities

Productivity enhancing activities including Technical Support Services through Partnerships

Provision of Productive Infrastructure for SHGs/SHG federations/Livelihood Collectives

Providing marketing linkages including through partnerships with Technical Support Agencies

Administrative cost

SMMU costs

DMMU Costs

Monitoring and Evaluation

SMMU and DMMU setting up and recurring costs

Communication

Annexure 5

National Rural Livelihoods Mission

State Perspective and Implementation Plan
(20XX-XX)

Template

MINISTRY OF RURAL DEVELOPMENT,
GOVERNMENT OF INDIA

Guidance Notes

Chapters

Summary of the SPIP

- Context (summary of diagnostics)
- Detailed Program Components
  - Social Mobilization and Institution Building
  - Financial Inclusion
  - Livelihoods Promotion
- Implementation Arrangements
- Financing Plan

Chapter 1: State Situational Analysis

a. This chapter sets the context. Typically each section needs to have a qualitative analysis of the current context in the given area substantiated by data (both secondary and primary wherever possible)
b. While providing the data, first provide the state level scenario and then provide the district level scenario and always indicate the source of data

1.1 Demographic Profile of the State

Insert the map of the state and give a brief introduction to the demographic profile of the state.

Data to be used : State level data and District-wise total rural population, District-wise % of female population, District-wise % of SC population, District-wise % of ST population, District-wise % of minority population, District-wise % of differently abled population, District wise rural female literacy rate.

1.2 Rural Poverty Context in the State

a. Poverty and Human Development:

Briefly summarize the extent of poverty and status of human development in the state and the key challenges/constraints and opportunities for the state

Data to be used: District-wise % of rural households below official poverty line, District-wise average monthly per capita expenditure (in Rs), District Wise data on malnutrition, school drop-outs and migration.
Note: For this section, data presented shall be disaggregated for SCs, STs, minorities

b. Vulnerabilities

- Household level vulnerabilities

Briefly summarize the vulnerabilities that affect an individual household and/or its immediate community. For eg: disability, food insecurity,etc.

Data to be used : State level data on % of women with low BMI, % of married women with anaemia, % of women headed households, % of single women, % of children underweight, Infant Mortality Rate, Maternal Mortality Rate, Coverage and reach of PDS, Off take of PDS among poor
District wise data on % of children underweight, Under 5 Mortality rate, Food Security outcome

Note: For this section, any available primary data/sampled study needs to be presented

- District/state level vulnerabilities (explain)

Summarize the vulnerabilities that affect the community as a whole; often a factor of the location (for eg. geographically isolated, flood-prone, drought-prone, LWE areas, proximity to extractive industries; coastal, remote hilly areas, Scheduled Areas, areas with majority SC/ST including PVTG/minority population).

Data to be used: District wise data on Flood, Cyclone, Drought affected and LWE areas, District wise HIV incidence, District wise data extractive industries, District wise Scheduled Areas, District wise distribution of SCs, STs, PVTGs and minorities.

Note: For this section, any available primary data/sampled study needs to be presented

1. 3 Context of Social Inclusion and Social Mobilization

Briefly summarize the extent of social mobilization in the state and the context of exclusion (gender, social, economic, geographic, caste based). A specific gender analysis shall be taken up to highlight gender relations at the household and community level, to identify specific vulnerabilities of women, their livelihoods, constraints and coping mechanisms.

The section needs to end with the key challenges and opportunities for social inclusion and mobilization in the state.

Data to be used: Primary data/ sampled studies on gender assessment/audit in the state, district wise female work participation, District-wise number of SHGs; number of SHGs from other government departments/other NGOs, quality of SHGs; no. of active and defunct SHGs, number of SHGs linked to credit; % of members who are SC/STs including PVTGs/minorities/disabled; District wise No of federations;

Note: For this section, any available primary data/sampled study on the prevalence of social exclusion, gender audits/assessments and quality of SHGs/SHG federations needs to be presented in addition to the secondary data

1.4 Context of Financial Inclusion

Briefly summarize the status of indebtedness of the poor, saving options, the sources of their credit, status of SHG bank linkage and the context of banking infrastructure in the state and the overall status of access to insurance for the poor. The section will end with an overall summary identifying the key challenges/constraints for financial inclusion in the state and outline the opportunities.

Data to be used: State level and district wise % of household credit requirement serviced by moneylenders, banks (for SCs/STs/minorities) , District-wise banking infrastructure (number of branches for commercial banks, RRBs and cooperative banks), District wise number of SHGs linked to credit , Bank wise data on SHG bank Linkage , district-wise) % of households accessing insurance products AABY/RSBY/JBY

Note: For this section, any available primary data/sampled study on the status of financial inclusion in the state needs to be presented in addition to the secondary data

1.5 Livelihood Context (State specific)

Initially describe the existing livelihood profile of the poor, particularly the vulnerable communities (identified in earlier section). Based on the description, provide detailed information of various livelihood options for the poor.

a. Agriculture and allied activities (horticulture etc.)

Describe the current situation of agriculture specifically for the poor (lease farmers, small and marginal farmers).Firstly Describe the current levels of productivity, key constraints (access to seeds, extension services, fertilizers, credit, market linkages) faced by the poor in agriculture and the opportunities for the poor.

Data to be used: District-wise: % of households that are landless/marginal holdings/small holders, District-wise productivity of the 3 major crops, District-wise cropping intensity, District-wise irrigation intensity, District wise fertilizer usage, District wise data on % of households able to access inputs (quality seeds, extension services, credit, fertilizer) , district-wise data on % of households who are members of agricultural cooperatives

Note: For this section, any available primary data/sampled study on the value chain analysis of agriculture specifically in the context of share farmers, small and marginal farmers needs to be presented in addition to the secondary data

b. Livestock

Describe the current situation of livestock based livelihoods (big ruminants, small ruminants – goats/ sheep, poultry, fishery) among the poor, the current productivities, key constraints to access services like AI, vet care, marketing, etc; the participation of poor in the institutions, the value chain analysis of 2-3 important livestock sub sector of the state and the opportunities of the sub sector in the state.

Data to be used: District wise % of households owning milch cattle, Sheep, Goats among the marginal and small farmers. For state- average productivity of milch cattle, % o households that are members of dairy cooperatives; % of members who are women, milk produced, % consumed, % marketed (marketable surplus); % of marketable surplus sold to cooperative dairies/sold in the open market. District wise the number of vet care centers, their outreach (both in terms of services and population/ animals serviced). If Fishery, Poultry is a major sector similar data to be used for analyzing the situation in poultry and fishery.

Note: For this section, any available primary data/sampled study on the value chain analysis of livestock sector specifically in the context of share farmers, small and marginal farmers' needs to be presented in addition to the secondary data

c. Non-Farm/NTFPs

Briefly describe the major non-farm/NTFP clusters in the state and analyze the status of the poor who are part of these leading clusters in terms of key constrains (access to backward and forward linkages) faced by them and the opportunities for growth.

Data to be used: District wise % of households engaged in the state's leading non-farm clusters[1] with disaggregated data for SCs, STs including PVTGs, minorities, District wise % of NTFP collection and marketing (separate data for SC/STs including PVTGs), Value chain analysis/input-output constraints for each of these sectors

Note: Wherever available Primary data /sampled studies on the value chain analysis of the key non-farm clusters needs to be presented.

d. Jobs

Describe the status of the service sector in the state, the key constraints and opportunities for the sector.

e. Livelihoods of tribal communities

Briefly describe the major sources of livelihood among tribal communities in the state.

Data to be used: District wise % of different livelihood sectors as engaged by ST and PVTG households. Describe the status, value chain analysis, key constraints and opportunities for each of these sectors especially with respect to tribal households.

[1] States to identify leading non-farm clusters (e.g. sericulture, handloom and so on)

For this section any primary data/ sampled studies on the value chain analysis of each the livelihood sectors specifically in the context of the ST and PVTG households needs to be presented, in addition to secondary data.

1.6 Performance of NREGA in the state

Describe the performance of NREGA in the state and substantiate that with data on the typical key indicators of NREGA performance both at the state and district level

1.7 Performance of other leading Social Welfare Schemes

a. NRHM in the state
b. PDS in the state
c. Pensions (old-age, widow, disabled)
d. ICDS
e. RSBY, AABY

Describe the performance of the above mentioned leading social security programs of Government of India and substantiate that with data on the typical key indicators of performance for these schemes both at the state and district level

1.8 Role of PRIs

Describe briefly the functioning of Panchayati Raj Institutions in the state. Key indicators to be used:

a. Tier structure of PRIs in the state
b. Devolution of powers to the PRIs
c. Gram Sabha meetings
d. Audit expenditures
e. Representation of vulnerable groups including women, SCs, STs.

1.9 Existing Livelihood Initiatives and social sector initiatives in the State (by the State Government , NGOs and externally aided projects)

Describe briefly successful livelihood existing livelihood Initiatives and social sector initiatives in the State implemented by the State government, NGOs and externally aided projects

Chapter 2: Mission and Objectives of NRLM

Briefly describe the mission of the NRLM in the state, the guiding principles, the values /non negotiable, the main objectives and the key results expected

PROGRAM STRATEGIES

Note:

- *List out best practices in the state in the chapters wherever relevant*
- *While defining strategy differentiate between strategy for intensive and non-intensive blocks*

Chapter 3: Social Inclusion and Mobilization – Strategies and Activities

3.1 Summary of diagnostics on vulnerability and social exclusion

Based on the diagnostics analysis in chapter 1, the following need to be identified:

1) Vulnerable social, economic and occupational groups including (but not restricted to) SCs, STs, minorities, single women and women headed households, persons with disability, landless, small and marginal farmers, persons working in hazardous occupations, migrant labour.

2) Districts and blocks of the state with high incidence of poverty and vulnerability

3.2 Summary of diagnostics on social mobilisation

The analysis related to status of social mobilization that has been done in chapter 1needs to be summarised so as to set the context for what needs to be done in the area of social inclusion and social mobilization. Also the key outcomes to be achieved as part of social mobilization needs to be mentioned upfront.

3.3. Key strategies

a. Social Inclusion and Universal Social Mobilization

What would the process to be followed to identify the poor and what are the strategies to be used to ensure universal social mobilization, what would be the strategies for difficult-to-mobilize groups such as disabled, migrants, PVTGs and other such groups.

b. Promoting SHGs

What will be the key elements of the SHG formation and building strategy, what would be the non negotiable, what will the key features of the SHG's, the key milestones to be achieved etc.

c. Inclusion of Pre-existing SHGs and Federations

What would be the strategy to assess and support pre existing SHG's and SHG federations

d. Building federations at different levels for sustaining collective action

What will be the levels and locations of federations - village, GP, cluster, block etc.- to be guided by the federating logic and best practices and experience in the state context,

What would be the key elements of the strategy to promote SHG federations, the key features of these SHG federations , key milestones to be reached by them etc.

f. Role of Community professional and community resource person

Clearly detail the role to be played by the community resource persons and the community professionals and the strategy to identify, select, train and manage them.

g. Capacity building of the community and the staff

Detail out the capacity building strategy for the community and for the staff

h. Social Mobilization in Non –Intensive Blocks

Strategy to be followed for social mobilization in the non- intensive blocks

Chapter 4: Financial Inclusion

The chapter should start with the analysis of the diagnostics related to status of Financial Inclusion that has been done in chapter 1 so as to set the context for what needs to be done in the area of financial inclusion. Also the key outcomes to be achieved as part of social mobilization needs to be mentioned upfront.

4.1 Summary of diagnostics on Financial Inclusion

A summary of the diagnostics related to status of Financial Inclusion that has been done in chapter 1

4.2 Strategies and activities for Financial Inclusion

Clearly outline the strategy to be followed for

a) Bank Finance– access to savings and credit services
b) Financial assistance to be provided as part of NRLM
c) Insurance

a) Bank Finance

Detail out the strategy to be used for enabling access to Bank Finance

- Membership and participation of SRLM at SLBC
- Partnerships with the major commercial banks
- Trainings and exposure visit for bankers and other stake holders
- Alternate models for delivering financial services
- New Product development
- Insurance services poor

b.) **Financial assistance to be provided as part of NRLM** *(Individual States could choose to use a different terminology(instead of using the terms "revolving fund" and "capital subsidy" to describe the financial assistance from NRLM)*

i. Revolving Fund

Stating the need and purpose of providing this revolving fund support, detailing the amount to be provided, the eligibility criteria to be used, the detail at what stage of the SHG would be the Micro investment Planning be carried out and how would it be carried out. The same to be described for the revolving fund to be provided in the non-intensive blocks as well.

ii. Capital Subsidy

Stating the need and purpose of providing this amount, detailing the amount to be provided a capital subsidy and at what level would it be provided. The eligibility criteria to be used (whatever level), at what stage of the institutions would this be provided needs to be specified. It also needs to be specified what will the process followed at the community institution level (for e.g. how would the prioritization among the SHGs and among the members within the SHGs be done, what would be this capital subsidy be used. The same needs to be described for the capital subsidy to be provided in the non-intensive blocks.

c.) Insurance

Describe the strategies and activities to be taken up as part of providing insurance services for the poor

Chapter 5: Strategies and Activities to be taken up as part of Livelihood Promotion

The NRLM framework mentions that the three pillars of NRLM Livelihoods Inclusion are

1. 'Vulnerability reduction' and 'livelihoods enhancement' through deepening/enhancing and expanding existing livelihoods options and tapping new opportunities within the key livelihoods that are virtually universally practiced like agriculture, livestock, fisheries, forest produce collection, etc.;

2. 'Employment' - building skills for the job market outside; and

3. 'Enterprises' - nurturing self-employed and entrepreneurs (for micro-enterprises).

The plan should clearly outline what is the strategy to be followed under each of these pillars i.e.

1a) **Vulnerability reduction**

- Food Security :

Given the context of the state, what would be the models for food security i.e would models like collective purchasing through the community institutions for food security be promoted if not are there other models to be tried out for ensuring food security at the household level. What would be the role of the community institutions

- Health Security

What would be the strategy for the state reducing health expenditures of the poor? Are there existing programs in the state which have a successful outreach hand and with whom there could be convergence or would the state want to have specific models of need based health financing / or comprehensive health intervention covering preventive and curative aspect as part of the NRLM. What would be the role of the community institutions in the strategy for health security?

- Access to entitlements like NREGA, Pensions, PDS : *What would be the different models to be tried out to ensure access to entitlements for the poor. Specifically what would be the role of the institutions of the poor in ensuring these entitlements and what would be their relationship with the line departments responsible for implementing these entitlement programs.*

1b) Livelihood enhancement

Strategy for Interventions in Agriculture sector, Livestock Sector (Dairy, Fisheries, Poultry) and in the Non Farm Sector : *What are the interventions that would be given the highest priority and what would be taken up as part of these interventions to start with, the justification for the prioritization, the detail of the interventions and the role of the community institutions/producer collectives in the intervention, the financing strategy, role of project staff, community professionals , role of technical partners*

1c) Infrastructure and Marketing Support Fund for Livelihoods

NRLM provides for utilization of up to 20% of the total fund outlay in the annual NRLM plan of the state (25% in the case of North Eastern States) for the infrastructure and marketing support. The framework mentions that this fund is meant to provide end-to-end livelihoods solutions for the poor, their SHGs, federations and livelihoods collectives.

The states in their action plan need to clearly detail out the probable activities they would be supporting as part of this component, what would be the appraisal process for providing this support and detail how this support this fits in well with overall livelihood enhancement strategy.

2) 'employment' - building skills for the job market outside

The NRLM framework mentions that NRLM would offer complete 'jobs' solution i.e identifying the unemployed, skilling and re-skilling them, placing them in jobs, providing post placement support, counseling and mentorship, and leveraging an alumni network. For this to happen:

a. Partnerships with both public and private sector are critical

The State action plan should clearly mention what are the different models of partnership with various skill development organizations in general and the private sector in particular that would be developed and pursued.

b.) Financial assistance to be provided as part of NRLM *(Individual States could choose to use a different terminology(instead of using the terms "revolving fund" and "capital subsidy" to describe the financial assistance from NRLM)*

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Stating the need and purpose of providing this revolving fund support, detailing the amount to be provided, the eligibility criteria to be used, the detail at what stage of the SHG would be the Micro investment Planning be carried out and how would it be carried out. The same to be described for the revolving fund to be provided in the non-intensive blocks as well.

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a. Partnerships with both public and private sector are critical

The State action plan should clearly mention what are the different models of partnership with various skill development organizations in general and the private sector in particular that would be developed and pursued.

SCs, minorities, disabled, landless, vulnerable occupation groups etc.), women and youth. The SPA shall be based on situation analysis and community level consultations.;

b) **Social Inclusion Plans (SIP):** Based on findings from SPAs, Social Inclusion Plans outlining differentiated strategies and mechanisms for tribal communities and other vulnerable groups

c) **Integrated Action Plan (IAP) districts (where applicable):** Key strategies to work in the government notified Integrated Action Plan (IAP) districts affected by left wing extremism and having high concentration of poverty and vulnerability.

IMPLEMENTATION PLAN

Chapter 8: Implementation Plan

8.1. Intensive and Non-Intensive Approaches

Brief description of intensive and non intensive approaches explaining the package of interventions

8.2 Project Cycle in a village and in the block in a typical intensive block:

The details of the typical processes in a village to be followed and the chronology in which they would be followed like the village entry, participatory identification of the poor, SHG formation and strengthening, Revolving fund and bank finance, livelihood promotion, SHG federations, Capital subsidy etc needs to be detailed out.

8.3 Phasing (Non Intensive and Intensive):

Phasing of Districts, Blocks, GPs, Villages, including the criteria/logic/rationale of phasing; (write names of districts and blocks in the annexure)

Phase	Intensive Blocks		Non-Intensive Blocks	
	Districts	*Blocks*	*Districts*	*Blocks*
I (2011-13)				
II (2013-15)				
III (2015-17)				
Total				

8.4 Results Framework

8.5 Schedule of activities (especially the first 18 to 24 months)

8.6 Project Costing

Source	Rs. (Crore)	% of Total Cost
Total		100%

The main components for the Project budget are

Cost Components	Intensive Blocks	Non – Intensive Blocks	Gap filling (Alternative terminology)	Total
Institution Building				
Training and Capacity Building				
Revolving fund and capital subsidy				
Infrastructure creation & marketing				
Skills and Placements projects				
Administrative cost				

All amounts in Rs. Crore

Chapter 9: Support Structure

9.1 Support structure at the state level

Detail out the form of SRLM (society, trust or company), Details of the governing body/ EC (chairperson, members etc), structure of SMMU (please provide organogram), job profiles of the key staff

Position	Level	Key Roles & responsibilities

9.2 Support Structure at the District Level:

Structure of the DMMU (please provide organogram) and job profiles of the key staff of DMMU needs to be provided in the Annexure

Position	Level	Key Roles & responsibilities

9.3 Support Structure at the Block Level:

Detail out the support structure at the Sub-District level (i.e. whether a BMMU or a PFT or a combination)

Position	Level	Key Roles & responsibilities
		-

9.4 Human Resources (HR) Policy

- Recruitment and selection
- Immersion and induction
- Remunerations
- Performance management
- Appraisals and incentives
- Grievance redressal
- Staff learning and capacity building
- Space for HR in various formats and tenures – full-time, part-time, home-based, short-term/long-term, internship, sabbatical, etc., and deployment flexibility

9.5 Administrative and Financial Rules:

Chapter 10: Training and Capacity Building Strategy

10.1 Training and Capacity building of staff

Describe the methodology to be followed, partnerships to be developed and implementation arrangements for training of the staff al levels i.e SMMU , DMMU and BMMU staff

10.2 Training and Capacity building of communities and their institutions

Describe the methodology to be followed, main content of the trainings partnerships to be developed and implementation arrangements for training of the community based institutions and their members

10.3 Training and Capacity building of Community Professionals

Describe the methodology to be followed, main content of the trainings partnerships to be developed and implementation arrangements for training of the community professionals

Chapter 11: Monitoring, Evaluation and Learning

11.1 Web based MIS and real time input-output monitoring at various levels :

How would data would be collected, entered, analyzed and used for decision making

11.2 Review Mechanism

What would be the Internal/external review mechanisms to be put in place at various levels?

11.3 Impact Assessment Studies

Details of how the Impact Assessment studies would be carried out?

Chapter 12: Communication

NRLM would be implemented across the state will touch lives millions of families to enhance their quality of life and livelihood. In order to meet this daunting task, the role, strategy and tools to communicate to different stakeholder at various stages is essential and needs to be carefully crafted.

12.1 Communication Flows (Internal and External)

The flow of communication both within program (i.e. between the various levels of the support structure (state, district, sub-district) and with the institutions of the poor at various levels (SHGs and their federations)) and with the external stakeholders needs to be clearly defined

12.2 Communication Strategy

The Communication Strategies of the project should specify how the following elements would be covered

- *A two-way vertical and horizontal flow of information.*
- *Facilitating participation of community in communication process.*
- *Developing continuous need identification mechanisms.*
- *Use of traditional forms and modern technology judiciously.*
- *Inherent accountability and transparency.*
- *Incorporate literacy and functional literacy aspects in communication process and technology.*

Chapter 13: Financial Management

13.1 Financial Management framework:

The framework needs to be in line with the financial management framework finalized at the national level. This should be a matrix that specified the key financial management and institutional arrangements at various levels. An illustration is given below

Level	Institutional Arrangement	Key Financial Management Arrangements
State Level	Executive Committee of SRLM	
	State Mission Management Unit	
District Level	District Mission Management Unit	
Sub-District Level	Block Mission Management Unit/ Project Facilitation Team	
Community level		

13.2 Fund Flows

The basis for release of funds to the different levels and the nature of accounts at these levels needs to be detailed out

13.3 Staffing and capacity building

Details of the key staff for financial management at all level along with the plan for their capacity building

13.4 Accounting Policies and Procedures

A Financial Management Manual (FMM) needs to be prepared detailing the accounting and financial reporting requirements at the various levels.. The key components of FMM should include the accounting and financial management processes such as funds flow, budgeting and audit arrangements. The financial and accounting policies contained in these manuals shall supplement the policies adopted for State Society, District Units and Block Units.

13.5 Audit arrangements need to be specified

Chapter 14. Procurement Arrangements

Procurement

It will be mandatory for all participating State and District societies and other Government and non Government agencies participating in the Implementation of NRLM components to adhere to the guidelines and procedures outlined in the NRLM Procurement Manual, issued at the National Level by MoRD, for carrying out procurement under NRLM. As part of the SPIP

(i) State Institutional Arrangements for procurement detailed at State, District, Block and Community level to ensure requisite staff in place. The Community Operations Manual to include a section on Community Procurement with State decided thresholds based on the limits given in NRLM Procurement manual

(ii) Needed staff hired at all level

(iii) A short note on capacity building of staff (planned timelines on training etc.)

(iv) Prior and post review mechanisms set in motion at various levels for procurement- as per the guidelines in NRLM Procurement

(v) Procurement Plan for 18 months as per the Template available in NRLM manual

Chapter 15: Social Management Framework

Describe in detail the social management framework in line with the social management framework finalized at the national level. The SMF should specifically include:

(i) Social Assessment: The social assessment would include a) the situation analysis identifying areas and social groups with high poverty and vulnerability, their specific social (gender) issues and possible responses b) field consultations with different social groups, NGOs, research agencies, government departments with dates, places and lists of attendees

(ii) Social Inclusion Plans: which would include specific and differentiated strategies for tribal communities as well as for the other socially disadvantaged groups of the poor.

(iii) Social Development Staff: needed at SMMU, DMMU, BMMU and CRP levels.

Chapter 16: Environment Management Framework

Describe in detail the environment management framework in line with the national social management framework.

Chapter 17: Governance and Accountability Plan

Background to prepare matter on GAC

- *Economic : Being a livelihood project economic aspect is most important and checks (a) Quantity of service delivery and (b) Quality. Both in comparison to the standards determined by the project.*
- *Social : Being a project on CDD social aspect checks points related to target beneficiary (a) Identification (b) Participation (c) Service delivery (d) Satisfaction (e) Feedback.*

- *Political : Being a multi stakeholder project political aspects checks whether decision making was (a) Fair (b) Equitable (c) Need based*
- *Institutional : This component has to ensure that above three checks and balances are in place.*

GAC framework to identify key activities to be undertaken :

- *Delivery Standards :*

In accordance to National PIP – the State has to fix delivery standards for the project and project institutions for the respective State. From GAC perspective following is required

- o *Define standards of delivery by the project for the target beneficiaries*
- o *Define standards of delivery for the participating institutions.*
- o *Identify the method to capture the key delivery standards , methods to capture , frequency of capturing and method of analyzing .*
- o *Define the role of institutions to deliver the standards and mechanism for corrective action based on deviations .*

- *Prevention*
- o *Brief para on Process standardization for easy adoption (project, finance , procurement)*
- o *Define methods for Standardizing documents , policies for disbursement / procurement performance assessment.*
- o *Define HR roles and responsibilities for GAC*
- o *Provide plan for Capacity building for using GAC tools .*
- o *Plan for Awareness generation and information dissemination on GAC*

- *Detection*
- o *Plan for Monitoring / tracking service delivery indicators.*
- o *Plan for Performance assessment of project and project staff on regular basis e.g impact studies, Annual staff assessment*
- o *Lay down the Feedback Mechanism through which the project management will get field voices – citizen report card , community score card , social audit (M&E)*

- *Response : Correction and Deterrence*
- o *Details out the Grievance redress mechanism e.g helpdesk ,postcard based communication from SHGs*
- o *Plan for Timely Corrective action e.g performance linked payments ,*
- o *Clear policy on punitive action e.g sanction policies for corruption and frauds.*

GAC Action Plan in Tabular format : Identify limited key activities that would be taken up to tackle governance and accountability from the State level . May be two or three under each of the following categories (a) Preventive (b) Detection (c) Response . Once these are initiated the sub activities under each can be also identified. In the action plan

the main activity , sub activities to be done under each , role of respective counterparts at different levels have to clearly mentioned.
GAC Focal Point : For ensuring that GAC initiatives are in place and followed religiously it utmost necessary that a GAC focal point is identified and mentioned in the PIP. This focal point has to at each level of Project implementation. This focal point also be responsible for RTI and corruption handling

Annexure

Phasing Plan for NRLM

Phase	Intensive Blocks WB Project		Intensive Blocks XXXX		Intensive Blocks NRLM		Total Intensive Blocks		Total Non Intensive Blocks	
	Distts	Blocks	Distts	Blocks	Distts	Blocks	Distts	Blocks	Distts	Blocks
I (2011-13)										
II (2013-15)										
III (2015-17)										
Total									XXXX	

NRLM Roll Out Plan
(Please provide detailed list of districts and blocks)

Roll Out		**Phase 1 (2011-23)**	**Phase II (2013-15**	**Phase III (2015-17)**
Intensive Blocks WB Project	*Districts*			
	Blocks			
Intensive Blocks XXXX	*Districts*			
	Blocks			
Intensive Blocks NRLM	*Districts*			
	Blocks			
Non Intensive Blocks	*Districts*			
	Blocks			